

UTILITY PATENT APPLICATION TRANSMITTAL <small>(Only for nonprovisional applications under 37 CFR § 1.53(b))</small>		Attorney Docket No. 500390.19 First Inventor or Application Identifier Scott E. Moore Title METHOD AND APPARATUS FOR MECHANICAL AND CHEMICAL-MECHANICAL PLANARIZATION OF MICROELECTRONIC SUBSTRATES Express Mail Label No. EL872098099US	October 10, 2003 U.S. PTO 10/683972 03945
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APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.	ADDRESS TO: Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450
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1. <input checked="" type="checkbox"/> Fee Transmittal Sheet (+ copy) <small>(Submit an original and a duplicate for fee processing)</small> 2. <input type="checkbox"/> Applicant(s) Claim(s) Small Entity Status 3. <input checked="" type="checkbox"/> Specification [Total Pages] 32 <small>(preferred arrangement set forth below)</small> - Descriptive Title of the Invention - Cross References to Related Applications - Statement Regarding Fed sponsored R & D - Reference to Microfiche Appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure 4. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) [Total Sheets] 6 5. <input checked="" type="checkbox"/> Oath or Declaration [Total Pages] 1 a. <input type="checkbox"/> Newly executed (original or copy) b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <small>(for continuation/divisional with Box 18 completed)</small> i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b) 6. <input checked="" type="checkbox"/> Application Data Sheet (37 C.F.R. 1.76)	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 8. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer-Readable Form (CRF) b. <input type="checkbox"/> Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statement verifying identity of above copies ACCOMPANYING APPLICATION PARTS 9. <input type="checkbox"/> Certification Under 35 U.S.C. 122(b)(2)(B)(i) 10. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 11. <input checked="" type="checkbox"/> 37 CFR 3.73(b) Statement <input checked="" type="checkbox"/> Power of Attorney <small>(when there is an assignee)</small> 12. <input type="checkbox"/> English Translation Document (if applicable) 13. <input checked="" type="checkbox"/> Preliminary Amendment Total Pages 7 14. <input checked="" type="checkbox"/> Return Receipt Postcard 15. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 4 Copies of IDS Citations 16. <input type="checkbox"/> Certified Copy of Priority Document(s) <small>(if foreign priority is claimed)</small> 17. <input checked="" type="checkbox"/> Other: <u>Certificate of Express Mail</u> <u>Check, General Authorization</u>
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18. If a CONTINUING APPLICATION , check appropriate box and supply the requisite information below and in a preliminary amendment <input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-In-Part (CIP) of prior Application No.: <u>10/167,102</u> Filed <u>June 10, 2002</u> Prior application information: Examiner <u>Dung Van Nguyen</u> Group / Art Unit <u>3723</u> <input checked="" type="checkbox"/> Incorporation By Reference (useable if box 5b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.	
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CORRESPONDENCE ADDRESS	
Steven H. Arterberry, Esq. Dorsey & Whitney LLP 1420 Fifth Avenue, Suite 3400 Seattle, Washington 98101-4010 (206) 903-8800 phone / (206) 903-8820 fax	Customer No. 27,076
TYPED or PRINTED NAME <u>Steven H. Arterberry</u> SIGNATURE <u>Steven Arterberry</u>	REGISTRATION NO. <u>46,314</u> Date <u>10/9/03</u>

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Scott E. Moore Attorney Docket No.: 500390.19
Filed : October 10, 2003
Title : METHOD AND APPARATUS FOR MECHANICAL AND
CHEMICAL-MECHANICAL PLANARIZATION OF MICROELECTRONIC
SUBSTRATES

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

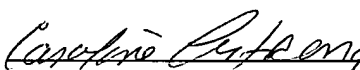
MAIL STOP PATENT APPLICATION

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

I hereby certify that the enclosures listed below are being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing Label Certificate No. EL 872098099 US, on October 10, 2003, addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Respectfully submitted,
DORSEY & WHITNEY LLP


Caroline Armstrong / for West Courier

SHA:tlm


Enclosures:

- Postcard
- Check
- PTO/SB/05 Utility Patent Application Transmittal
- Application Data Sheet
- Fee Transmittal Sheet (+ copy)
- General Authorization
- Preliminary Amendment
- Copy of Specification, Claims, Abstract (32 pages)
- Copy of 6 Sheets of Drawings (Figures 1-6)
- Copy of Declaration
- Copy of Election and Power of Attorney
- Copy of Revocation and Substitute Power of Attorney
- Copy of Assignment
- Information Disclosure Statement and Form PTO-1449 with 4 references

FEE TRANSMITTAL SHEET (FOR FY 200r)	Complete if Known	
	Express Mail No.	EL872098099US
	Filing Date	Concurrently Herewith
	First Named Inventor	Scott E. Moore
	Group Art Unit	Not Yet Assigned
	Examiner	Not Yet Assigned
	Atty. Docket Number	500390.19

METHOD OF PAYMENT (Check One)	FEE CALCULATION (Continued)																																																																																																																																																																												
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fee required under 37 C.F.R. §§ 1.16 and 1.17 and 1.136(a)(3) and credit any over payments to Deposit Account No.: <u>50-1266</u> ; Deposit Account Name: <u>DORSEY & WHITNEY LLP</u>	3. ADDITIONAL FEES <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> <th rowspan="2">Fee paid</th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> </tr> <tr><td>1051</td><td>130</td><td>2051</td><td>65</td><td>Surcharge - Late filing fee or oath</td><td>\$</td></tr> <tr><td>1052</td><td>50</td><td>2052</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td>\$</td></tr> <tr><td>1053</td><td>130</td><td>1053</td><td>130</td><td>Non-English specification</td><td>\$</td></tr> <tr><td>1812</td><td>2,520</td><td>1812</td><td>2,520</td><td>For Filing a Request for <i>ex parte</i> Reexamination</td><td>\$</td></tr> <tr><td>1804</td><td>920</td><td>1804</td><td>920</td><td>Requesting publication of SIR prior to Examiner action</td><td>\$</td></tr> <tr><td>1805</td><td>1,840</td><td>1805</td><td>1,840</td><td>Requesting publication of SIR after Examiner action</td><td>\$</td></tr> <tr><td>1251</td><td>110</td><td>2251</td><td>55</td><td>Extension for reply within first month</td><td>\$</td></tr> <tr><td>1252</td><td>420</td><td>2252</td><td>210</td><td>Extension for reply within 2nd month</td><td>\$</td></tr> <tr><td>1253</td><td>950</td><td>2253</td><td>475</td><td>Extension for reply within 3rd month</td><td>\$</td></tr> <tr><td>1254</td><td>1,480</td><td>2254</td><td>740</td><td>Extension for reply within 4th month</td><td>\$</td></tr> <tr><td>1255</td><td>2,010</td><td>2255</td><td>1,005</td><td>Extension for reply within 5th month</td><td>\$</td></tr> <tr><td>1401</td><td>330</td><td>2401</td><td>165</td><td>Notice of Appeal</td><td>\$</td></tr> <tr><td>1402</td><td>330</td><td>2402</td><td>165</td><td>Filing a brief in support of an appeal</td><td>\$</td></tr> <tr><td>1403</td><td>290</td><td>2403</td><td>145</td><td>Request for oral hearing</td><td>\$</td></tr> <tr><td>1814</td><td>110</td><td>2814</td><td>55</td><td>Terminal Disclaimer Fee</td><td>\$</td></tr> <tr><td>1452</td><td>110</td><td>2452</td><td>55</td><td>Petition to revive – unavoidable</td><td>\$</td></tr> <tr><td>1453</td><td>1,330</td><td>2453</td><td>665</td><td>Petition to revive – unintentional</td><td>\$</td></tr> <tr><td>1501</td><td>1,330</td><td>2501</td><td>665</td><td>Utility/Reissue issue fee</td><td>\$</td></tr> <tr><td>1502</td><td>480</td><td>2502</td><td>240</td><td>Design issue fee</td><td>\$</td></tr> <tr><td>1503</td><td>640</td><td>2503</td><td>320</td><td>Plant issue fee</td><td>\$</td></tr> <tr><td>1460</td><td>130</td><td>1460</td><td>130</td><td>Petitions to the Commissioner</td><td>\$</td></tr> <tr><td>1807</td><td>50</td><td>1807</td><td>50</td><td>Processing fee under 37 CFR 1.17(q)</td><td>\$</td></tr> <tr><td>1806</td><td>180</td><td>1806</td><td>180</td><td>Submission of IDS</td><td>\$</td></tr> <tr><td>8021</td><td>40</td><td>8021</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td>\$</td></tr> <tr><td>1801</td><td>770</td><td>2801</td><td>385</td><td>Request for Continued Examination (RCE)</td><td>\$</td></tr> <tr><td colspan="5">Other fee (specify)</td><td>\$</td></tr> <tr> <td colspan="5" style="text-align: right;">Subtotal (3)</td> <td>\$ 0</td> </tr> </table>	Large Entity		Small Entity		Fee Description	Fee paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)	1051	130	2051	65	Surcharge - Late filing fee or oath	\$	1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	\$	1053	130	1053	130	Non-English specification	\$	1812	2,520	1812	2,520	For Filing a Request for <i>ex parte</i> Reexamination	\$	1804	920	1804	920	Requesting publication of SIR prior to Examiner action	\$	1805	1,840	1805	1,840	Requesting publication of SIR after Examiner action	\$	1251	110	2251	55	Extension for reply within first month	\$	1252	420	2252	210	Extension for reply within 2 nd month	\$	1253	950	2253	475	Extension for reply within 3 rd month	\$	1254	1,480	2254	740	Extension for reply within 4 th month	\$	1255	2,010	2255	1,005	Extension for reply within 5 th month	\$	1401	330	2401	165	Notice of Appeal	\$	1402	330	2402	165	Filing a brief in support of an appeal	\$	1403	290	2403	145	Request for oral hearing	\$	1814	110	2814	55	Terminal Disclaimer Fee	\$	1452	110	2452	55	Petition to revive – unavoidable	\$	1453	1,330	2453	665	Petition to revive – unintentional	\$	1501	1,330	2501	665	Utility/Reissue issue fee	\$	1502	480	2502	240	Design issue fee	\$	1503	640	2503	320	Plant issue fee	\$	1460	130	1460	130	Petitions to the Commissioner	\$	1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	\$	1806	180	1806	180	Submission of IDS	\$	8021	40	8021	40	Recording each patent assignment per property (times number of properties)	\$	1801	770	2801	385	Request for Continued Examination (RCE)	\$	Other fee (specify)					\$	Subtotal (3)					\$ 0
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Submitted by:

Name: Steven H. Arterberry	Reg. No.: 46,314	Telephone: (206) 903-8800
Signature: 		Date: 10/9/03

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Scott E. Moore Attorney Docket No.: 500390.19
Filed : Concurrently Herewith
Title : METHOD AND APPARATUS FOR MECHANICAL AND
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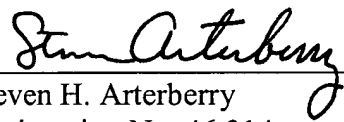
GENERAL AUTHORIZATION

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

With respect to the above-identified application, the Commissioner is authorized to charge any fees under 37 C.F.R. §§ 1.16 and 1.17 which may be required and to treat any concurrent or future reply requiring a petition for an extension of time under 37 C.F.R. § 1.136(a)(3) for its timely submission as incorporating a petition therefor for the appropriate length of time and to charge any fees which may be required during the course of prosecution, or credit any overpayment, to Deposit Account No. 50-1266.

Date 10/9/03


Steven H. Arterberry
Registration No. 46,314

SHA:tlm

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